



TO: State Workforce Innovation Council Chairperson
Workforce Investment Board Chairperson
Workforce Investment Board Director
Regional Workforce Board Chairpersons
Regional Operators

FROM: Brooke E. Huntington *BEH*
Deputy Commissioner, Customer Solutions

DATE: October 16, 2006

SUBJECT: DWD Commissioner's Directive 2006-11
Workforce Investment Boards and Regional Workforce Boards Plan Instructions

Purpose

To provide the workforce investment boards and regional workforce boards local workforce plan instructions for the period July 1, 2006 through June 30, 2008. The plan will be both strategic and operational in nature.

Content

Governor Mitchell (Mitch) E. Daniels, Jr. has made growing Hoosier jobs and personal income the organizing principles of his administration. In line with the Governor's overall agenda, he has laid out the following three priorities for the publicly funded workforce system:

- 1. Grow Hoosier jobs in Indiana**
- 2. Increase personal income of Hoosiers**
- 3. Deliver premier customer service**

To achieve meaningful near-term and long-term success on these three priorities, a four-prong strategy has been initiated. This strategy consists of:

- 1. Regionalizing**
- 2. Integrating**
- 3. Aligning**
- 4. Innovating**

The Indiana Department of Workforce Development developed a mission statement to help achieve the Governor's priorities:

"The Indiana Department of Workforce Development works to ensure Indiana employers have a competitive and flexible workforce by providing all Hoosiers with opportunities and support to grow knowledge and skills for sustained employment in the global economy."

Legislative Requirements – Indiana's Two Workforce Investment Boards

There are two workforce service areas in the State of Indiana: The 91 counties excluding Marion County called the "Balance of State," and Marion County. Both workforce service areas are bound by the local plan requirements and each will submit a local plan to the Governor in accordance with the following legislative requirements and Indiana Department of Workforce Development guidance. However, because the Balance of State workforce service area is comprised of 11 regions, the Balance of State local plan will be comprised of the local plans from each of the 11 regions. Each regional workforce board will submit a regional plan to the Indiana Department of Workforce Development who will compile the regional plans into the Balance of State regional plan. The Balance of State and Marion County Workforce Investment Boards will seek public comment, per the requirements of the legislation, for a minimum of 30 days.

GENERAL

Workforce Investment Act of 1998, Section 118(a) – "Each local board shall develop and submit to the Governor a comprehensive 5-year local plan (referred to in this title as the "local plan"), in partnership with the appropriate chief elected official. The plan shall be consistent with the State plan."

The original five-year plans were initiated at the implementation of WIA legislation. Directions from U. S. Department of Labor have required states to submit subsequent state plans in increments below the five-years specified in legislation. As such, the State of Indiana will only be requiring a two-year plan at this time from the workforce investment boards. Those plans will cover program years 2006 and 2007.

PROCESS

Workforce Investment Act of 1998, Section 118(c) - "Prior to the date on which the local board submits a local plan under this section, the local board shall:

- (1) Make available copies of a proposed local plan to the public through such means as public hearings and local news media;
- (2) Allow members of the local board and members of the public, including representatives of business and representatives of labor organizations, to submit comments on the proposed local plan to the local board, not later than the end of the 30-day period beginning on the date on which the proposed local plan is made available; and
- (3) Include with the local plan submitted to the Governor under this section any such comments that represent disagreement with the plan."

APPROVAL

Workforce Investment Act of 1998, Section 118(d) – “A local plan submitted to the Governor under this section shall be considered to be approved by the Governor at the end of the 90-day period beginning on the day the Governor receives the plan, unless the Governor makes a written determination during the 90-day period that:

- (1) Deficiencies in activities carried out under this subtitle have been identified, through audits conducted under Section 184 or otherwise, and the local area has not made acceptable progress in implementing corrective measures to address the deficiencies; or
- (2) The plan does not comply with this title.”

The workforce investment board plans must be submitted to IDWD by December 27, 2006. The regional workforce board plan must be submitted to IDWD by December 13, 2006 in accordance with the criteria on the attached “Instructions for Local Workforce Plans.”

Effective Date

Immediately

Ending Date

June 30, 2008

Ownership

Center of Excellence, Career Services

Action

The workforce investment boards and the regional workforce boards are to create and submit local plans in accordance with the guidance set forth in this DWD Communication and in the attached “Instructions for Local Workforce Plans.”

Please send plans to:

Indiana Workforce Innovation Council
c/o Indiana Department of Workforce Development
Attn: Nate Klinck, Career Services
10 N. Senate Avenue
Indianapolis, IN 46204

Contact Person

Jennifer Biddle, Planning Analyst
Center of Excellence, Career Services
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204
Telephone: 317.232.7459
E-mail: jbiddle@dwd.IN.gov

Attachment

Instructions for Local Workforce Plans, Program Year 2006 and Program Year 2007

Instructions for Local Workforce Plans PY2006-PY2007

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The following instructions are for creation and submission of local workforce plans. The instructions are divided into two sections for 1) Workforce Investment Boards (WIB) and 2) Regional Workforce Boards (RWB). An electronic template that is formatted with the required format will be e-mailed to each WIB Chair, WIB Director, RWB Chair and Regional Operator.

Workforce Investment Boards

The WIB plan will cover program years 2006 and 2007. The plans will be due to IDWD, Career Services, Attn: Nate Klinck by December 27, 2006. A printed copy of the plan plus an electronic version must be submitted. The plan must be accepted by IDWD to be considered an accepted plan. If IDWD does not formally accept the plan within 90 days of submission, the plan is accepted by default. The WIB must initiate a 30-day public comment period prior to submission.

The local plan will consist of five (5) sections.

- Mission Statement and Strategic Plans
- Labor Market Information and Demographics
- Governance & Structure
- Operational Plans
- Signature Page

Each plan will address the entire area that comprises the workforce service area (WSA). The plan must address the needs of the WSA as a whole.

Public Comment Period

The WIB must

- Start the 30-day comment period prior to submission of the plan to IDWD.
- Provide opportunities for local input into the development of the plan.
- Provide opportunities for public comment on the plan.
- Post the plan to their internet web page for public comment.
- Summarize and submit to IDWD public comments about the plan.

Section 1 - Mission Statement and Strategic Plans

This section requires the WIB to publish its mission statement, vision and associated goals. This should incorporate the Governor's and IDWD's vision for workforce development in Indiana at the WIB level. The board may also wish to address its core values, specific outcomes and key strategies. Specific performance goals should be annotated in this section as an attachment. These specific goals should include federal, state and WSA goals.

This section of the plan should build on the Strategic Skills Initiative, the Accelerating Growth, Indiana's Economic Development Plan and other economic and workforce research and planning. The focus should be on targeted skill upgrades for the area's workforce.

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Finances

- What are your primary funding streams including sources with dollar amounts?
- What are your financial obligations for each of the two program years? Estimates for funding and obligations should be used for PY2007.
- What percent of your WIA funding is used for administration in contrast to program, for overhead¹ in contrast to service delivery, and for tier of services (core, intensive & training)?
- What actions are being taken to reduce administration and overhead costs and to increase funding spent on training?
- Describe the competitive process used to award grants and contracts for activities carried out under WIA.

Strategic Service Delivery

- How is the WIB addressing the needs for service delivery in a cost effective manner?
- With the reduction of unemployment insurance staff in the WorkOne centers and the upcoming focus on self-service systems for both labor exchange and unemployment insurance, how does the WIB propose to adjust their service delivery strategy to meet the needs of the WSA in a cost-effective manner?
- Has a strategy been developed to identify strategic partners for collocation and collaboration in the WorkOne?
- Who are those partners?
- What is the service integration strategy for increasing the integration of all WorkOne services within the restrictions that are set forth by federal and state law/policy?
- How does this include the use of systems such as TrackOne and other tools that enhance the ability to integrate service delivery?
- How is the WIB integrating the Strategic Skills Initiative (SSI) into WIA service delivery and operations? How will the WIB continue the SSI without the additional SSI funding?
- What strategies are being developed to support the three Pro Talent objectives described in “Accelerating Growth - Indiana’s Strategic Economic Development Plan?”
- What is the WIB’s continuous improvement strategy?
- How is continuous improvement being used to address quality staffing, service delivery integration and improved performance?

WorkOne Marketing

- How is the WIB promoting the WorkOne system?
- What marketing strategy exists, not only to promote the WorkOne system, but also to increase communication between all parties including elected officials, WIB members, partners, employers, and the public?
- How is the WIB’s website used to promote the WorkOne system and increase communication?

Strengths Weaknesses, Opportunities and Threats (SWOT) Analysis

- What are the WSA strengths, weaknesses, opportunities and threats?

¹ Overhead includes all costs that are not services delivery which is strictly limited to direct service costs for clients such as training, workshops, supportive services, etc. and front line staff costs including front line supervisor costs.

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- How will the WIB use the strengths and opportunities to the advantage of the WorkOne system?
- How will the WIB address the weaknesses and threats in order to minimize any adverse affect on the WorkOne system?

Grant Opportunities

- What grants or types of grants does the WIB plans to pursue? Include descriptions of the services available under the grants and how the grants fit into the WIB's strategic plans.
- What strategies are in place to promote grant opportunities to employers? Please specify any specific grant opportunities that are being promoted to employers.

Section 2 - Labor Market Information and Demographics

Much of the information for this section of the local plan should be available based on the Strategic Skills Initiative. The Labor Market Information and Demographics should present a vivid picture of the area's workforce and workforce needs. It should be the basis for both the strategic and operational plans.

Workforce Statistics

- What does the current workforce look like statistically? This should include data on both the workforce and the job seekers.
- What are the workforce needs for the area's employers (current and future)?
- How are those employer needs for skilled employees going to be met? Include strategies for upgrading current worker skills and for finding and preparing new workers.
- What are the WSA's current and projected employment opportunities?
- What are the WSA's high-demand, high-wage occupations (should come from Strategic Skills Initiative)? This must include a demand occupation list.
- What are the job skills necessary to obtain the employment opportunities especially high demand, high wage opportunities?
- What is the educational attainment for the populous, including secondary and postsecondary education in the area/region and current high school graduation rates?

Workforce Data Needs

- What workforce data is needed for the WSA related to workforce development and economic development? Provide suggestions for the collection and dissemination of this data.

Section 3 - Governance and Structure

The WIB must present a relationship chart that shows the interrelationships between the major entities in its workforce development system including the Chief Elected Official, the WIB, the Fiscal Agent, the Service Providers and the primary partners. It must also identify the primary committees, councils and workgroups that support the WIB including the purpose and short-term & long-term objectives for each entity.

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Each WIA service provider for the WSA should be identified including the programs administered and the geographic area covered by the service provider. This must be presented in a matrix format.

Section 4 - Operational Plans

A description of the one-stop (WorkOne) delivery system must be described with an emphasis on how it will address the workforce needs of the area. Details on how it will address business needs and workforce skill shortages are essential.

WIA Service Plan

- What Adult, Dislocated Worker and Youth employment and training services are available in the WSA? This is not limited to services through the WorkOne system.
- What is the availability (capacity) for each of those services?
- What services are available through the local WorkOne system? Provide a brief description of the services available with the eligibility criteria. Also include a matrix showing services by WorkOne centers and Express sites in the WSA.
- For each program year covered by this plan, how many clients will be served using WIA funding?
- How many WIA clients will be served in each tier of service (Core, Intensive and Training)?
- What criteria does the WIB use for priority of adult intensive and training services when funds are limited? A description of the process for applying the priority of services should also be included.
- What is the WIB's definition of self-sufficiency?
- How will the WorkOne determine whether proposed employment leads to self-sufficiency?
- How does the WIB's individual training account (ITA) system operate? Include allowable exceptions to ITAs and how those exceptions are determined to be exceptions and how they are processed.
- How will the WIB/Regional Board insure quality services? Include plans and schedules for monitoring, plans and policies for corrective action and processes for the replacement of ineffective service providers.
- How will substandard or ineffective delivery of services by a service provider be determined?

Adult and Dislocated Worker Services

- What strategies are planned for the recruitment of adult clients?
- How will referrals (to and from partners and community resources) be used to maximize the effectiveness of services?
- Does the WIB have specific plans to address literacy and/or low educational attainment with the adult population? If so, describe.
- What specific plans are in place to increase program integration within the WorkOne and with other community resources?
- How will the WSA coordinate rapid response activities with the workforce services for the area including coordination with statewide rapid response?

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- How will rapid response coordinate outreach to affected populations and coordinate orientation for those workers?
- What are the active TAA petitions for the WSA including the petition number, petition date, the company name(s), the number of affected workers and the class of workers covered by the petition? Petitions filed and pending federal review should also be listed.
- How are services for TAA participants coordinated with other services offered through the WorkOne?
- What actual major dislocations (50 or more workers) exist for the area or are projected for the time period covered by this plan? Provide the company's name (optional if projected), the number of affected workers and the class of workers covered by the dislocation. These projections must be based on solid information if employers are identified.
- How are services for these dislocated workers coordinated with other services offered through the WorkOne?

Youth Services

- What percentage of the Youth allocation will be spent on in-school youth and what percent will be spent on out-of-school youth?
- What recruitment strategies will be used for out-of-school youth? Historically, the number of out-of-school youth enrolled in the program has been low.
- What strategies will be used to keep out-of-school youth active in the program?
- How will the service providers coordinate with secondary schools and adult basic education programs to identify youth and to coordinate services?
- Provide the local definition of "deficient in basic literacy skills."
- Provide the local definition of "requires additional assistance to complete an educational program, or to secure and hold employment."
- Provide the local barrier that permits youth who are not low-income to receive youth services.

Pilot Projects

- What unique or pilot projects are being run by the WIB or WorkOne system in your WSA? This may include current or planned projects.
- What is the scope of the unique/pilot projects, the benefits, the expected outcomes, the evaluation methodology, the amount and source of the budget? As appropriate, provide a synopsis of the level of success for the project.
- Are there pilot projects that the WIB would like to operate? Please list.

Section 5 - Signature Page

The Chief Elected Official, the WIB Chair and the WIB Director must all sign and date the signature page.

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Regional Workforce Boards

The RWB plan will cover program years 2006 and 2007. The plans are due to IDWD, Career Services, Attn: Nate Klinck by December 13, 2006. A printed copy of the plan plus an electronic version must be submitted. The plan must be accepted by IDWD to be considered an accepted plan. If IDWD does not formally accept the plan within 90 days of submission, the plan is accepted by default.

The local plan will consist of five (5) sections.

- Mission Statement and Strategic Plans
- Labor Market Information and Demographics
- Governance & Structure
- Operational Plans
- Signature Page

Each plan will address the entire area that comprises the economic growth region (EGR). The plan must address the needs of the EGR as a whole.

Public Comment Period

A public comment period for the RWB is optional.

Section 1 - Mission Statement and Strategic Plans

This section requires the RWB to publish its mission statement, vision and associated goals. This should incorporate the Governor's and IDWD's vision for workforce development in Indiana at the RWB level. The board may also wish to address its core values, specific outcomes and key strategies. Specific performance goals should be annotated in this section as an attachment. These specific goals should include federal, state and EGR goals.

This section of the plan should build on the Strategic Skills Initiative, the Accelerating Growth, Indiana's Economic Development Plan and other economic and workforce research and planning. The focus should be on targeted skill upgrades for the areas workforce.

Finances

- What are your primary funding streams including sources with dollar amounts?
- What are your financial obligations for each of the two program years? Estimates for funding and obligations should be used for PY2007.
- What percent of your WIA funding is used for administration in contrast to program, for overhead² in contrast to service delivery, and for tier of services (core, intensive & training)?
- What actions are being taken to reduce administration and overhead costs and to increase funding spent on training?

² Overhead includes all costs that are not services delivery which is strictly limited to direct service costs for clients such as training, workshops, supportive services, etc. and front line staff costs including front line supervisor costs.

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- Describe the competitive process used to award grants and contracts for activities carried out under WIA.

Strategic Service Delivery

- How is the RWB addressing the needs for service delivery in a cost effective manner?
- With the reduction of unemployment insurance staff in the WorkOne centers and the upcoming focus on self-service systems for both labor exchange and unemployment insurance, how does the RWB propose to adjust their service delivery strategy to meet the needs of the EGR in a cost-effective manner?
- Has a strategy been developed to identify strategic partners for collocation and collaboration in the WorkOne?
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- What strategies are being developed to support the three Pro Talent objectives described in "Accelerating Growth - Indiana's Strategic Economic Development Plan?"
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- How is the RWB promoting the WorkOne system?
- What marketing strategy exists, not only to promote the WorkOne system, but also to increase communication between all parties including elected officials, RWB members, partners, employers, and the public?
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- How will the RWB use the strengths and opportunities to the advantage of the WorkOne system?
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